

## **CAPITAL PLANNING ADVISORY BOARD**

### **Minutes of the Second Meeting of the 2000 Calendar Year**

**July 28, 2000**

The second meeting of the Capital Planning Advisory Board (CPAB) of the 2000 calendar year was held on Friday, July 28, 2000 at 9:00 AM, at the Kentucky State Police Headquarters on Versailles Road in Frankfort. Representative Perry Clark, Chairman, called the meeting to order, and the secretary called the roll.

Present were:

Members: Representative Perry Clark, Chairman; Bill Hintze, Vice-Chairman; Susan Clary; Taylor Manley (representing James Codell); Representative Brian Crall; Kevin Flanery; Lou Karibo; Cicely Jaracz Lambert; Sam Newcomb; Norma Northern; Senator Albert Robinson; and Garlan Vanhook.

Guests Appearing before the Board: Aldona Valicenti, Chief Information Officer of the Commonwealth; Justice Cabinet Secretary Robert Stephens; Lt. Colonel John Lile, Deputy State Police Commissioner, and Lt. Colonel Don Pendleton, Director, Services Division, Kentucky State Police; Louis Smith, Chief Information Officer, and Paul Embley, Unified Criminal Justice Information System Project Manager, Justice Cabinet.

LRC Staff: Pat Ingram, Mary Lynn Collins, Lola Williamson Lyle, and Phillip Smith.

Chairman Clark welcomed Mr. Kevin Flanery, Deputy Secretary of the Finance and Administration Cabinet, as the Board's newest member.

Mr. Hintze's motion to approve the minutes of the May 25 meeting was seconded by Ms. Northern and passed by voice vote.

Chairman Clark said today's meeting was part of the Board's ongoing effort to visit and review, in detail, some of the state agencies and facilities. He introduced Justice Cabinet Secretary Robert Stephens, who welcomed the Board to the Kentucky State Police (KSP) Headquarters and Academy. Secretary Stephens said he thought it was very important that the Board was visiting some of the facilities for which it would be reviewing capital project proposals.

Chairman Clark asked Pat Ingram, CPAB Staff Administrator, to review the two information items included in the members' folders. Ms. Ingram said the first item was a report on the status of new construction projects authorized in the 1998-2000 Executive Branch Budget. Ms. Clary asked whether all of the projects had been reviewed by CPAB prior to their authorization and whether they had adequate funding. Mr. Hintze responded that many of the projects still in the schematic design phase had been funded in the 1998-2000 Surplus Expenditure Plan and some received supplemental appropriations in the 2000-02 budget; those projects did not come through the regular capital planning and budget development processes.

Regarding the regional postsecondary education centers that are still in the planning phase, Ms. Northern explained that it was taking a while to plan these buildings because they are cooperative arrangements involving multiple institutions and local entities.

Ms. Ingram said the second information item was a report on the Nebraska State Building Renewal Assessment Fund which uses annual surcharges and depreciation charges based on the value of state-owned buildings to accumulate a fund for their repair and maintenance. She said Nebraska is also moving toward centralized administration of state facilities.

Chairman Clark said he believes CPAB should learn more about the Nebraska process to fund building maintenance and renewal because it appears to be better than Kentucky's current approach of appropriating large sums after the buildings have already deteriorated.

In response to Senator Robinson's question, Mr. Hintze said he thought a Nebraska-type approach would be looked on favorably by the bond rating agencies because it would provide a consistent, renewable source of funds to maintain the state's investments in buildings.

Ms. Clary asked that staff obtain more information about the Nebraska process. She noted that, in the past, the Board had discussed whether the cost of future renovations could be built into the financing for new facilities and that Facilities Management Commissioner Russ had made several presentations to the Board concerning the needs of existing buildings; she said applying the Nebraska approach to existing buildings would probably be the more difficult issue to address.

Chairman Clark reminded members that at the last meeting staff had been directed to begin seeking information from Kentucky state agencies and from other states in order to update the forms and instructions for the next planning process. He asked Ms. Ingram to review the staff proposal that was included in the members' folders.

Ms. Ingram said the materials included a listing of the comments received from the state agencies in Kentucky as well as a summary of planning processes used in other states. She said most states have at least a 6-year planning process, and that one of the major distinctions made in other states is between maintenance needs and other project needs.

Ms. Ingram said the changes being proposed for the next planning process in Kentucky are intended to recognize that planning and the responsibilities of CPAB do not require the extensive detail that has been required in the past; and, they are intended to focus on some of the issues that the Board has identified as warranting more attention - for example, maintenance and space needs. The proposed changes are as follow: prioritize only projects to be financed from general funds or general fund-supported bonds; use the same form regardless of project type (construction, equipment, information technology); simplify/streamline contents of the forms; require the identification of space needs rather than addressing specific leases; require the plan overview to address other sources of funds for agency capital needs; and require the agency plan to include a maintenance plan component.

Mr. Hintze said the Board's role differs from that of those involved in preparation of the biennial budget. He said the more abbreviated and more focused approach that is being proposed should expedite the review of projects and allow the Board to focus on its most important concerns - policy, priority, and need. He noted that the more detailed information would still need to be available from the agencies for the budget process.

Mr. Hintze then suggested two changes to the staff recommendation: 1) in addition to prioritizing projects proposed from state general funds (cash or bond), the agencies should also be required to prioritize projects proposed from agency bonds and from road funds and 2) the agencies should be required to submit projects planned for the upcoming three biennia as well as status information for projects authorized in the current biennium. While this would be a policy change, it would conform to the requirements of KRS 7A.120. (To date, the plans have included status information for the current biennium and plans for the upcoming two biennia.) Ms. Clary said she would endorse having agencies plan for a six-year, rather than a four-year, period. Mr. Hintze's motion to adopt the staff recommendation with his proposed changes was seconded by Mr. Flanery and approved by voice vote.

Chairman Clark introduced the state's Chief Information Officer (CIO), Aldona Valicenti, to provide a brief report on the activities of the Governor's Office for Technology (GOT) and said she would make another presentation later in the meeting concerning her role as chair of the committee responsible for developing the state's Unified Criminal Justice Information System (UCJIS).

Ms. Valicenti said she believes it is important to look at long-range needs; in information technology what needs to be done is usually known, but the details of how it will be implemented are more difficult to determine because the technology changes so quickly.

Ms. Valicenti said state government represents a very large computing environment today, and directed members' attention to a handout detailing the budget, number of employees, and infrastructure that are involved. She then reviewed a chart showing the organizational structure of the Governor's Office for Technology. Besides an organizational structure, a governance structure has been put in place with a CIO in each Cabinet. This governance structure is used to discuss enterprise-wide issues such as standards which allow systems developed in different places to share data.

Ms. Valicenti said state government currently uses both new world (Internet) and old world (traditional, over-the counter face-to-face contact) approaches to the delivery of services, but there is a need to move the infrastructure toward the new world approach while maintaining the old approach where necessary.

Ms. Valicenti said GOT is also charged with overseeing the implementation of very large projects by establishing steering committees or other bodies to review their progress. She said they learned from problems with a recent Revenue Cabinet project that these groups need to be established at the very beginning of a project so needed changes can be made early in the process. She said while the agency implementing a project needs to have a good working relationship with the vendor, the steering committee includes others who are freer to ask the hard questions.

Next, Ms. Valicenti addressed GOT's request during the last session of the General Assembly that the CPAB-recommended legislation establishing a new "system" definition be withdrawn. She referenced two factors that would have caused problems with the implementation of that definition: 1) agencies now often obtain commercial software and configure it to their own needs instead of having software written specifically for their needs; this software is not purchased but is "licensed" through the procurement process and 2) the state now has standards for the "enabling" software (e.g., Oracle for databases) that is used to run

other software and that enabling software is purchased on a statewide basis rather than by individual agencies.

Mr. Hintze said one of the goals of the Board's recommendation on a system definition had been to have something that was understandable, that had a realistic dollar threshold, and that was broad enough to deal with all of the investments that are necessary to make the system work. Ms. Valicenti said they had been talking to CPAB staff about the best approach to presenting these data to the Board. She noted that another problem is the difficulty in estimating the cost of professional services. In the next year, GOT will be looking at having a better definition, either through regulation or another approach. Mr. Hintze suggested that it might be appropriate to look at how other jurisdictions have dealt with this issue.

Ms. Clary asked whether GOT is involved in planning for technology in the brick and mortar projects in the state. Ms. Valicenti said GOT probably does not have enough involvement in that process. She said they would be very happy to be more involved, especially to ensure that there is enough connectivity available in the building. She said the new William T. Young Library at the University of Kentucky is a good example of where there was adequate planning for technology in constructing the building. Ms. Clary said she thought CPAB should take some action to ensure that this is done on state projects. Mr. Hintze suggested the issue should be highlighted as a component of the planning and budget processes to ensure that it is addressed early.

Mr. Flanery said there has been much discussion of future connectivity needs relative to the new Transportation Cabinet Office Building. He believes this is emphasized with the large projects, but needs to be addressed more for the smaller projects (e.g., maintenance barns).

Chairman Clark thanked Ms. Valicenti for her presentation and introduced Lt. Col. John Lile and Lt. Col. Don Pendleton to discuss the Kentucky State Police programs and facilities.

Col. Lile welcomed the Board to the KSP Headquarters/Academy. He said KSP basically runs 2 departments - a police department consisting of the 16 posts across the state and an information services department which assists many local agencies and the public through programs and activities such as LINK-NCIC (Law Information Network of Kentucky - National Crime Information Center), uniform traffic accident reports, and CCDW (carry concealed deadly weapons).

Col. Pendleton said KSP takes great pride in its facilities and tries to make good use of them. He noted that this building was a former Ramada Inn motel that had been converted to address training needs as well as to serve as a headquarters/administrative building. He said the tour later in the morning would illustrate KSP's training facility needs as well as the needs of the Information Services Center.

Col. Pendleton directed members' attention to a handout listing the 16 post facilities, information about each building, the geographic area served, and the personnel assigned to work there. He said some of the facilities need attention and noted that the 1998 General Assembly authorized the construction of two new/replacement facilities. One will be located in Henry County (to replace the current LaGrange post), and the other will be located in Hazard.

Col. Pendleton said KSP uniformed troopers and general investigative detectives provide service in virtually all 120 Kentucky counties. The 2000 General Assembly provided funding to

increase the number of troopers from 1,000 to 1,050 and authorized an increase to 1,070 troopers if funding can be found. Col. Pendleton said this authorized increase in the number of troopers, the fact that many current personnel will be retiring soon, and increased annual training requirements approved by the 1998 General Assembly will increase the training demands and illustrate the need for adequate training facilities.

Col. Pendleton listed some of the more specialized activities of the KSP including drug enforcement, the special response team, forensic labs (a centralized lab in Frankfort and five regional labs across the state), driver licensing, the Automated Fingerprint Identification System (AFIS), the collection of information from all police agencies across the state, and the CCDW program.

Col. Pendleton said the tour of the Information Services Center will show a real need for additional space. He said KSP is currently working with the Division of Real Properties to lease some additional space for the short term; he said KSP needs to house additional personnel to work with the UCJIS project and responsibilities resulting from actions of the 2000 General Assembly concerning the sex offender registry and the requirement for background checks of all school volunteers.

Mr. Hintze requested a status report on the implementation of the new radio system. Col. Pendleton said the new radios have been installed in all of the police cars, and they are working well. He said the Richmond post was selected as the pilot project because it encompasses the variety of terrain found in Kentucky. That post was turned on to digital mode on July 21 and the immediate response was very good. Col. Pendleton said this new system should be a major step in moving toward having mobile data terminals in State Police cars.

Chairman Clark asked if the KSP system will interface with new systems being purchased and implemented by the Division of Emergency Management in the Department of Military Affairs and the Division of Forestry in the Natural Resources and Environmental Protection Cabinet. Mr. Hintze explained that an 800 MHz system that would have addressed the needs of all of these agencies was initially considered, but it was found to be too expensive.

In response to Chairman Clark's questions, Col. Lile said KSP is having discussions with the Department of Corrections about that Department assuming responsibility for the current KSP facility in LaGrange when the replacement post facility being constructed in Henry County is completed; the LaGrange post is just outside the gate of the Kentucky State Reformatory.

Chairman Clark thanked Col. Lile and Col. Pendleton, then asked Ms. Valicenti to update the Board on the UCJIS project. Ms. Valicenti introduced Louis Smith, CIO, Justice Cabinet, and Paul Embley, UCJIS Project Manager. She noted that Ms. Lambert also serves on the UCJIS Committee.

Ms. Valicenti directed members' attention to materials in the handout that relate to the UCJIS project. She said the UCJIS Committee is comprised of the diverse group of agencies and departments that need to work together; House Bill 455, which established it as part of the Criminal Justice Council, has become a focal point for the nation because of the diverse representation that is required.

Following up on the earlier question about radio systems, Ms. Valicenti said they are bringing people together to discuss standards for radios. She said Forestry and Emergency

Management are beginning to discuss whether there is an opportunity to have a system that would serve both. She said they are also talking with KSP about radio communications being an integral part of the criminal justice system.

Ms. Valicenti said UCJIS will not involve purchasing a single large system. There are dozens of systems at the state and local level which need to be integrated - criminals know no boundaries, so neither should the system. She said they are finding that some things will be kept, others replaced, and still others refurbished.

Ms. Valicenti said they put out a Strategic Alliance for Service Request seeking a vendor to help create a long-term plan for what needs to be done. Evaluation of the bids has been completed and a selection should be made in the next couple of weeks.

Ms. Valicenti said the largest project ongoing today is a demonstration/pilot project in Louisville and Jefferson County involving the use of electronic citations. All jurisdictions in Kentucky already use a uniform citation, but it is a paper form and the information may not get transferred into the system and made available to others needing it on a timely basis. Using mobile data terminals in the officers' cars would allow the information to be immediately available to anyone needing it. The system has already been installed in 40 cars; this will increase to 200 cars and then to 400 cars. A significant portion of the funding currently available is being used for this pilot project, which is expected to be replicated in other counties.

Mr. Embley said this system will not only help law enforcement agencies, but others who must gather similar data (e.g., jailers, courts, prosecutors). Having the data in an electronic format will allow it to be transferred to others rather than having the same information collected and re-entered at several points in the process.

Ms. Valicenti said they are also working on the idea of an automated warrant, but have found that the concept of a warrant is not the same across the state. So before working on establishing a computer system, they are having to get a consensus understanding of what a warrant is. In this regard, they are also looking at other states.

Other projects listed by Ms. Valicenti are the establishment of an interface so that data captured through the state's Automated Fingerprint Identification System are fed into the jail system, and the reworking of the criminal history system. She noted they are working jointly with the Administrative Office of the Courts on many projects.

Senator Robinson said he appreciated Ms. Valicenti's comments, and he believes these efforts will create a better system and result in substantial savings.

Mr. Smith said that because standards have been established, new internal systems being implemented by agencies such as KSP and the Department of Corrections will be able to be integrated into the overall system.

In response to a question from Chairman Clark, Mr. Embley said an automated warrant would still need a judge's signature.

Rep. Crall asked what is being done to enhance the security of the information that is being collected electronically. Ms. Valicenti said security can be done at multiple levels such as passwords, firewalls, personal identification numbers, and securing data at the element level.

She said Kansas has part of its criminal justice system on the Internet which is a very open environment; tokens with numbers that change every thirty seconds must be used to enter that system. Ms. Valicenti said an important aspect of security is educating users as to its importance. She said Kentucky is doing some things but needs to do more. Rep. Crall said he is less concerned about the security capabilities than he is about their application.

Chairman Clark thanked Ms. Valicenti for her presentation.

There being no further business to come before the Board, the meeting was adjourned at 10:40 to begin the tour of KSP facilities.